TeamSTEPPS®

Seeking the Right Balance:
Addressing Behaviors that Undermine a Culture of Safety
September 9, 2015

Rules of Engagement

- Audio for the webinar can be accessed in two ways:
  1. Through the phone (*Please mute your computer speakers)
  2. Through your computer
- A Q&A session will be held at the end of the presentation
- Written questions are encouraged throughout the presentation and will be answered during the Q&A session
  - To submit a question, type it into the Chat Area and send it at any time during the presentation
  - The lines may open for call-in questions during the Q&A session

Acknowledgements

- Project Sponsors
  - Jim Battles, PhD (AHRQ)
  - Heidi King, MS (DoD)
- Project Team
  - Health Research & Educational Trust (HRET)

TeamSTEPPS® Master Training

- Two-day training course
- Train-the-trainer approach
- Prepares you to serve as a TeamSTEPPS Master Trainer by
  - Providing instruction on TeamSTEPPS tools and strategies
  - Providing an opportunity to develop and plan your TeamSTEPPS implementation
Upcoming TeamSTEPPS Events

- Online Course Availability
  - Not able to travel? TeamSTEPPS 2.0 Online Master Trainer Course now available. Register at: [https://tsims.org](https://tsims.org)
  - Learn more and register for all events at [www.TeamSTEPPSportal.org](http://www.TeamSTEPPSportal.org)

Help Line (312) 422-2609

Or email: [AHRQTeamSTEPPS@aha.org](mailto:AHRQTeamSTEPPS@aha.org)

Today’s Presenter

- Gerald B. Hickson, MD
  - Senior Vice President for Quality, Safety, and Risk Prevention
  - Assistant Vice Chancellor for Health Affairs
  - Joseph C. Ross Chair in Medical Education & Administration
  - Vanderbilt Center for Patient and Professional Advocacy

Pursuing Reliability

**Definition:** “Failure free operation over time... effective, efficient, timely, pt-centered, equitable”

**Requires:**
- Vision/goals/core values
- Leadership/authority (modeled)
- A *safety* culture = willingness to report and address
  - Psychological safety
  - Trust

Checklists: The Keys to the Kingdom...

Atul Gawande's 'Checklist' For Surgery Success

Speaking about dealing with unexpected challenges in medicine, Atul Gawande—a surgeon who writes for The New Yorker when he's not at his day job at Harvard Medical School—relates a story about a man who came into an emergency room with a stab wound.

But wait...

Conclusions:

Adjusted risk of death; surgical complications; SSIs; wound complications, 30-day mortality:

No Difference...

The Right Balance

Intentionally Designed Systems

Professional Accountability

Professionalism and Self-Regulation

- Professionals are willing to engage in all aspects of the job—tedious or otherwise—to the best of their ability.
- Professionals commit to:
  - Technical and cognitive competence
  - Clear and effective communication
  - Being available
  - Modeling respect
  - Self-awareness

- Professionalism demands self- and group regulation
**Case: “Whistling a Tune”**

The following event was reported to you (an authority figure) through your electronic event reporting system.

*A nurse observes:*

“During a scheduled procedure we attempted to perform a time-out. Dr. X asked everyone to ‘listen carefully’, and he began whistling the Mickey Mouse Club theme song. He whistles every time...”

**Poll Question**

Does this represent a threat to safety?

1. Absolutely
2. Probably
3. Uncertain
4. Probably not
5. Absolutely not

**Poll Question**

What % of the time would someone report the event to a responsible party or through an established event reporting system?

1. 0%-20%
2. 20%-40%
3. 40%-60%
4. 60%-80%
5. 80%-100%

**Poll Question**

If reported, what % of the time would a medical leader have a conversation with Dr. X?

1. 0%-20%
2. 20%-40%
3. 40%-60%
4. 60%-80%
5. 80%-100%
What are behaviors that undermine a culture of safety?

Definition of Behaviors That Undermine a Culture of Safety:

- Interfere with ability to achieve intended outcomes
- Threaten safety (aggressive or violent physical actions)
- Create intimidating, hostile, offensive (unsafe) work environment
- Violate policies (including conflicts of interest and compliance)

Excerpts from Vanderbilt University and Medical Center Policy #HR-027, 2010

It’s About Safety
What barriers exist? vs. Why bother acting?
**Our Challenge**

The five most common hospital acquired infections (HAIs) cost the US $9.8 billion annually...

...and we know they are mostly preventable.

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**Failure to Address Behaviors that Undermine a Culture of Safety**

**Leads To:**
- Adoption of unprofessional conduct
- Lessened trust, lessened task performance *(always monitoring disruptive person)*
- Threatened quality and patient safety
- Withdrawal

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**Respect, trust and team performance**

**Patient Complaints & Surgical Outcomes**

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**Patient Complaints**

**Clear and Effective Communication**

Dr. __ did a very poor job of communicating. He raced through an explanation of what we should expect, then left without giving us a chance to get clarification.

**Respectful**

Dr. __ didn’t listen to me. Dr. __ interrupted me while I was explaining my symptoms and said, “I got it. I already know all I need to know...”
Slide 29: Academic vs. Community Medical Center Physicians

- Academic Med Center Physicians: 5% of physicians associated with 35% of concerns.
- Community Med Center Physicians: 35-50% of physicians are associated with NO concerns.

Slide 30: Respect and Surgical Occurrences*

- 66 surgeons; 10,536 procedures

Slide 31: The Balance Beam

- Competing Priorities
  - Not sure how
  - Leaders “blink”
  - Fear of antagonizing
  - Can’t change...

- Staff Satisfaction
  - Reputation
  - Patient Safety
  - Liability
  - Risk Management costs

- Do Nothing
- Do Something

Slide 32: To “do something” requires more than a commitment to professionalism and personal courage.

- It requires a plan (people, process and technology).
Essential Elements to Promote Reliability

- Committed Leadership
- Project Champions
- Implementation Teams
- Clear Goals and Values
- Policies and Procedures
- Sufficient Resources
- Tiered Intervention Model
- Tools, Data and Metrics
- Reliable Review Process
- Training

**Leadership Intervention Model**

**Leadership**

**Training**

**What Are “Surveillance Tools”?**

- Risk Event Reporting System
- Patient Relations Department
- Staff Concerns
- Hand Hygiene Performance
- Surgical Bundle Compliance

Reports of Unprofessional Behavior

- **RN:** Dr. __ entered the room without foaming in... I offered a pair of gloves... he took them and dropped them into the trash can.

- **Anesth:** Dr. __ rushed... said to team setting up for surgery, “Let’s get going. Skip all the extra business and get the patient in here…”

- **RN:** Dr. __ asked everyone to ‘listen carefully,’ then began whistling a tune... it was the Mickey Mouse Club theme song.
Does any of this really work?

- Improves physicians’ prescribing, clinical decision making¹
- Reducing malpractice claims and expenses: By greater than 70%²
- Improving hand hygiene practices: From 50% to greater than 95% compliance³
- Addressing behaviors that undermine a culture of safety⁴

Slide 39

References

⁴ Dmochowski et al. Manuscript in preparation, 2014
Awareness Interventions results: 00-15

- Successfully completed intervention process or are improving: 752 Physicians (78%)
- Unimproved/worse: 149 Physicians (16%)
- Departed organization unimproved: 56 Physicians (6%)

Departed before follow up = 105 - First follow up next year = 200

Confidential and privileged information under the provisions set forth in T.C.A. §§ 63-1-150 and 68-11-272; not be disclosed to unauthorized persons.

"An Intervention Model that Promotes Accountability: Peer Messengers and Patient/Family Complaints" by James W. Pichert, Ilene N. Moore, Jan Karrass, Jeffrey S. Jay, Margaret W. Westlake, Thomas F. Catron and Gerald B. Hickson.

Joint Commission Journal article honored with ABIM Foundation Professionalism Article Prize

Return on Investment (ROI) vs. PARS® Cost*

*Adjusted for local Market & Inflation; Assumes 25-40% PARS impact

But it is not just about individual performance...

Consider the following challenge...

VUH Unit Hand Hygiene Compliance
July 1, 2010 – November 30, 2011
Promoting Professionalism Pyramid

- Level 3 “Disciplinary” Intervention
  - No Pattern persists
  - Apparent pattern
  - Single “unprofessional” incidents (merit?)
  - “Informal” Cup of Coffee Intervention
  - Level 1 “Awareness” Intervention
  - Mandated Reviews

Vast majority of professionals - no issues - provide feedback on progress

* includes OUS-defined “condition level” and “immediate jeopardy” safety-related complaints

TeamSTEPPS® Behaviors that Undermine Safety Culture

VUMC Quarterly HH Compliance June 2009 – December 2014

Hand Hygiene Improvement Strongly Correlates with Low Infection Rates

- HIGH Infection Rates Correlate with LOW Hand Hygiene Adherence
- LOW Infection Rates Correlate with HIGH Hand Hygiene Adherence

So before you throw away your checklist...

We know what to do, we just have to learn how to collectively...

Intentionally Designed Systems  Professional Accountability

TeamSTEPPS® Behaviors that Undermine Safety Culture
### TeamSTEPPS® Key Principles

<table>
<thead>
<tr>
<th>Team Structure</th>
<th>Identification of the components of a multi-team system that must work together effectively to ensure patient safety</th>
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<tbody>
<tr>
<td>Communication</td>
<td>Structured process by which information is clearly and accurately exchanged among team members</td>
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<tr>
<td>Leadership</td>
<td>Ability to maximize the activities of team members by ensuring that team actions are understood, changes in information are shared, and team members have the necessary resources</td>
</tr>
<tr>
<td>Situation Monitoring</td>
<td>Process of actively scanning and assessing situational elements to gain information or understanding, or to maintain awareness to support team functioning</td>
</tr>
<tr>
<td>Mutual Support</td>
<td>Ability to anticipate and support team members’ needs through accurate knowledge about their responsibilities and workload</td>
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</tbody>
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### TeamSTEPPS® Key Principles & Essential Elements

- Committed Leadership
- Project Champions
- Implementation Teams
- Clear Goals and Values
- Policies and Procedures
- Sufficient Resources
- Tiered Intervention Model
- Tools, Data and Metrics
- Reliable Review Process
- Training

### Professionalism and Self-Regulation

- Professionals are willing to engage in all aspects of the job – tedious or otherwise – to the best of their ability.
- Professionals commit to:
  - Technical and cognitive competence
  - AND
  - Clear and effective communication
  - Being available
  - Modeling respect
  - Self-awareness
  - Professionalism demands self- and group regulation

### Let Us Hear Your Comments and Questions

**Now or Later**

[www.mc.vanderbilt.edu/cppa](http://www.mc.vanderbilt.edu/cppa)